### Edgar Filing: PORTOLA PHARMACEUTICALS INC - Form 4

#### PORTOLA PHARMACEUTICALS INC

Form 4

November 07, 2013

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

#### **OMB APPROVAL**

OMB 3235-0287 Number:

January 31, Expires: 2005

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## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF **SECURITIES**

Washington, D.C. 20549

Form 4 or Form 5 obligations may continue.

See Instruction

Check this box

if no longer

subject to

Section 16.

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

1(b).

(Last)

(Print or Type Responses)

1. Name and Address of Reporting Person \* Dier Mardi

2. Issuer Name and Ticker or Trading Symbol

5. Relationship of Reporting Person(s) to

Issuer

PORTOLA PHARMACEUTICALS

(Check all applicable)

INC [PTLA]

(First) (Middle)

(Month/Day/Year)

Director 10% Owner X\_ Officer (give title Other (specify below)

3. Date of Earliest Transaction

11/06/2013

Senior VP and CFO

C/O PORTOLA PHARMACEUTICALS, INC., 270 EAST GRAND AVENUE, SUITE 22

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

3.

6. Individual or Joint/Group Filing(Check

Applicable Line)

\_X\_ Form filed by One Reporting Person Form filed by More than One Reporting

**SOUTH SAN** FRANCISCO, CA 94080

> (City) (State)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1.Title of Security (Instr. 3)

2. Transaction Date 2A. Deemed (Month/Day/Year) Execution Date, if

(Zip)

TransactionAcquired (A) or Code Disposed of (D) (Instr. 3, 4 and 5) (Instr. 8)

4. Securities

5. Amount of Securities Beneficially (D) or Owned Following (Instr. 4)

6. Ownership 7. Nature of Form: Direct Indirect Beneficial Indirect (I) Ownership (Instr. 4)

Reported (A) or

Transaction(s) (Instr. 3 and 4) Price Code V Amount (D)

Common Stock

34,824 (1) D

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

(Month/Day/Year)

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#### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transactic Code (Instr. 8)	5. Number of orDerivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Underlying Securities (Instr. 3 and 4)	
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option (Right to Buy)	\$ 22.06	11/06/2013		A	75,000	(2)	11/05/2023	Common Stock	75,000

## **Reporting Owners**

Relationships Reporting Owner Name / Address Director

Officer Other 10% Owner

Dier Mardi C/O PORTOLA PHARMACEUTICALS, INC. 270 EAST GRAND AVENUE, SUITE 22 SOUTH SAN FRANCISCO, CA 94080

Senior VP and CFO

# **Signatures**

/s/ Sally A. Kay, 11/06/2013 Attorney-In-Fact

\*\*Signature of Reporting Person

# **Explanation of Responses:**

- If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- Since the date of the reporting person's last ownership report, she transferred 34,825 shares of PTLA common stock and employee stock (1) options to purchase 51,951 shares of PTLA common stock to her ex-husband pursuant to a domestic relations order. The reporting person no longer reports as beneficially owned any securities owned by her ex-husband.
- The Option shares shall vest as follows: one-fourth (1/4th) of the shares vest one year after November 1, 2013; the balance of the shares (2) vest in a series of thirty-six (36) successive equal monthly installments measured from the first anniversary of November 1, 2013, subject to Reporting Person's Continuous Service (as defined in the Issuer's 2013 Equity Incentive Plan) as of each such date.
- (3) Not applicable.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

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